

08/07/01  
131 U.S. PTO

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

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# UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. 2011CIP1  
First Inventor Jörn Gorlach  
Title Expressed sequences of arabidopsis thaliana  
Express Mail Label No. ET327611358US

(Only for new nonprovisional applications under 37 CFR 1.53(b))

## APPLICATION ELEMENTS

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 45]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ]
5. Oath or Declaration [Total Pages ]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☒ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☒ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☒ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☒ Other: copy of extension of time.....  
from parent app.....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No.: 09 / 638,258

Prior application information:

Examiner Zhou, S

Group Art Unit: 1631

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

022881  
(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

Address

City

Country

State

Telephone

Zip Code

Fax

Name (Print/Type)

Joseph Majka

Registration No. (Attorney/Agent)

30,570

Signature

*Joseph Majka*

Date

August 7, 2001

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Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
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**Complete if Known**

Application Number	August 7, 2000
Filing Date	Jorn Gorlach
First Named Inventor	A. Marschel
Examiner Name	1631
Group / Art Unit	2011 CIP1
Attorney Docket No.	

See 37 C.F.R. §§ 1.27 and 1.28 for information regarding small entity payment procedures.

TOTAL AMOUNT OF PAYMENT	(\$1,076.00)
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PAYMENT (check one)

**METHOD OF PAYMENT** (check one)

**METHOD OF PAYMENT** (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **50-0885**

Number

Deposit Account Name **Joseph T. Majka**

Additional Fee

☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed: ☐ Money Order ☐ Other

**FEE CALCULATION**

1. BASIC FILING FEE

1. BASIC FILING				Fee Description	Fee Paid
Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)		
101	690	201	345	Utility filing fee	710.00
				Design filing fee	
106	310	206	155	Plant filing fee	
107	480	207	240	Reissue filing fee	
108	690	208	345	Provisional filing fee	
114	150	214	75		
				<b>TOTAL (1)</b>	<b>(\$ 710.00)</b>

75 Provisional filing fee

**SUBTOTAL (1)** **(\$)** 710.00

2. EXTRA CLAIM FEES

**2. EXTRA CLAIMS**

	Total Claims Independent Claims	Multiple Dependent	Extra Claims 20**	3**	below	
	27	6	7	3	18	= 126
					80	= 240
						= 0

Previously paid, if greater; For Reissues, see below

Entity Small Entity Fee	Fee Description

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

(\$)**366.00**

9 Release  
and over original p

SUBTOTAL (2) (\$) 366.00

**FEE CALCULATION** (continued)

### 3. ADDITIONAL FEES

3. ADDITIONAL FEES				Fee Description
Large Fee Code	Small Fee Code	Entity Fee (\$)	Entity Fee (\$)	
105	130	205	65	Surcharge - late filing fee or oath
	127	50	227	25
	139	130	139	130
	147	2,520	147	2,520
	112	920*	112	920*
	113	1,840*	113	1,840*
	115	110	215	55
	116	380	216	190
	117	870	217	435
	118	1,360	218	680
	128	1,850	228	925
	119	300	219	150
	120	300	220	150
	121	260	221	130
	138	1,510	138	1,510
	140	110	240	55
	141	1,210	241	605
	142	1,210	242	605
	143	430	243	215
	144	580	244	290
	122	130	122	130
	123	50	123	50
	126	240	126	240
	581	40	581	40
	146	690	246	345
	149	690	249	345

  

Non-English specification	
For filing a request for reexamination	
Requesting publication of SIR prior to Examiner action	
Requesting publication of SIR after Examiner action	
Extension for reply within first month	
Extension for reply within second month	
Extension for reply within third month	
Extension for reply within fourth month	
Extension for reply within fifth month	
Notice of Appeal	
Filing a brief in support of an appeal	
Request for oral hearing	
Petition to institute a public use proceeding	
Petition to revive - unavoidable	
Petition to revive - unintentional	
Utility issue fee (or reissue)	
Design issue fee	
Plant issue fee	
Petitions to the Commissioner	
Petitions related to provisional applications	
Submission of Information Disclosure Stmt	
Recording each patent assignment per property (times number of properties)	
Filing a submission after final rejection (37 CFR § 1.129(a))	
For each additional invention to be examined (37 CFR § 1.129(b))	

  

Other fee (specify) _____
Other fee (specify) _____

  

_____ Paid	<b>SUBTOTAL (3)</b>
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Other fee (specify)

Other fee (specify)

**SUBTOTAL (3)** (\$ 0.00

Reduced by Basic Filing Fee Paid

Complete (if applicable)

Complete (if applicable)  
Phone 019-425-2999

Telephone 919-425-2555

SUBMITTED BY

Submitted by: Joseph T. Ma

Signature \_\_\_\_\_

**WARNING:**

Joseph T. Majka  
Joseph T. Majka  
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SUBMITTED	Joseph T. Mark
Name (Print/Type)	Joseph T. Mark
Signature	<i>Joseph T. Mark</i>

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## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Gorlach, Jorn

Application No.: TBA

Group No.: TBA

Filed: 08/07/2000

Examiner: TBA

For: Expressed sequences of arabidopsis thaliana

Commissioner for Patents  
Washington, D.C. 20231SUBMISSION OF "SEQUENCE LISTING," COMPUTER READABLE COPY,  
AND/OR AMENDMENT PERTAINING THERETO  
FOR BIOTECHNOLOGY INVENTION CONTAINING NUCLEOTIDE  
AND/OR AMINO ACID SEQUENCE

## CERTIFICATION UNDER 37 C.F.R. sections 1.8(a) and 1.10\*

*(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification is optional.)*

I hereby certify that, on the date shown below, this correspondence is being:

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- ☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

## 37 C.F.R. section 1.8(a)

## 37 C.F.R. section 1.10\*

- ☐ with sufficient postage as first class mail.

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8/7/01

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Sheryl L. Christie  
(type or print name of person certifying)**\*WARNING:**

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